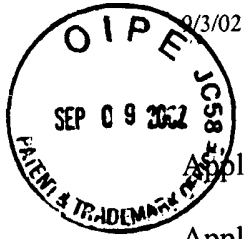


2874



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

Applicants: Jack P. Salerno, Guanghai Jin and David J. Brady
Application No.: 10/032,702 Group Art Unit: 2874
Filed: December 28, 2001 Examiner: (not yet assigned)
Title: Systems and Methods of Manufacturing Integrated Photonic Circuit Devices

CERTIFICATE OF MAILING
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231
On September 4, 2002 Date Jennifer Desrosiers Signature
Jennifer Desrosiers
Typed or printed name of person signing certificate

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INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- ☒ Copies of the cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
- ☐ Listed references were cited in the enclosed International Search Report in a counterpart foreign application.

Concise Explanation Requirement (non-English references):

- ☒ The "concise explanation" requirement (non-English references) for references [AM, AP-AP4] under 37 CFR 1.98(a)(3) is satisfied by:
 - ☐ the explanation provided on the attached sheet.
 - ☐ the explanation provided in the Specification.
 - ☐ submission of the enclosed International Search Report.
 - ☒ the enclosed English language abstract.

☐ Applicant requests that the following pending applications be considered:

Examiner's
Initials

____ U.S. Patent Application No. [], Publication No. [], Publication Date [],
by [inventor(s)], filed [], Docket No.: []

____ U.S. Patent Application No. [], Publication No. [], Publication Date [],
by [inventor(s)], filed [], Docket No.: []

____ U.S. Patent Application No. [], Publication No. [], Publication Date [],
by [inventor(s)], filed [], Docket No.: []

Examiner

Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 50-1935 in the amount of \$[]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 50-1935.

Respectfully submitted,

BOWDITCH & DEWEY, LLP

By Monica Grewal
Monica Grewal
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Framingham, Massachusetts 01701-9320

Dated: September 3, 2002



PTO-1449 REPRODUCTION OF INFORMATION DISCLOSURE CITATION IN AN APPLICATION September 3, 2002 (Use several sheets if necessary)				ATTORNEY DOCKET NO. 301541.3000-100		APPLICATION NO. 10/032,702	
				APPLICANT Jack P. Salerno et al.			
				FILING DATE December 28, 2001		GROUP 2874	
U. S. PATENT DOCUMENTS							
EXAM- INER INI- TIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	AA	5,365,541	11/15/94	Bullock	372	99	
	AB	5,379,310	01/03/95	Papen et al.	372	23	
	AC	5,488,597	01/30/96	Chen et al.	369	100	
	AD	5,789,027	08/04/98	Watkins et al.	427	250	
	AE	5,990,850	11/23/99	Brown et al.	343	912	
	AF	5,999,308	12/07/99	Nelson et al.	359	321	
	AG	6,052,213	04/18/00	Burt et al.	359	237	
	AH	6,058,127	05/02/00	Joannopoulos et al.	372	92	
	AI	6,101,300	08/08/00	Fan et al.	385	27	
	AJ	6,111,472	08/29/00	De Los Santos	331	96	
	AK	6,134,043	10/17/00	Johnson et al.	359	237	
	AA2	6,198,860	03/06/01	Johnson et al.	385	28	
	AB2	6,233,380	05/15/01	Ferrieu	385	30	
	AC2	6,243,522	06/05/01	Allan et al.	385	123	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	AL	EP 0964 305 A1	15-DEC-1999	Europe			
	AM	EP 1 052 529 A1	15-NOV-2000	Europe (English Abstract)			
	AN	EP 1 085 352 A2	21-MAR-2001	Europe			
	AO	EP 1 099 963 A2	16-MAY-2001	Europe			
	AP	JP 2000066002 A	03-MAR-2000	Japan (English Abstract)			
	AQ	JP 2000180606 A	30-JUN-2000	Japan (English Abstract)			
	AL2	JP 2000224109 A	11-AUG-2000	Japan (English Abstract)			
	AM2	JP 2000258650 A	22-SEPT-2000	Japan (English Abstract)			
	AN2	JP 2000267585 A	29-SEPT-2000	Japan (English Abstract)			
	AO2	JP 2000284136 A	13-OCT-2000	Japan (English Abstract)			
EXAMINER				DATE CONSIDERED			



PTO-1449 REPRODUCED				ATTORNEY DOCKET NO.		APPLICATION NO.	
INFORMATION DISCLOSURE CITATION IN AN APPLICATION				301541.3000-100		10/032,702	
September 3, 2002				APPLICANT			
(Use several sheets if necessary)				Jack P. Salerno et al.			
				FILING DATE		GROUP	
				December 28, 2001		2874	
U.S. PATENT DOCUMENTS							
EXAM- INER INI- TIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	AD2	6,260,388	07/17/01	Borrelli et al.	65	393	
	AE2	2001/0006567	07/05/01	Yokoyama et al.	385	14	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	AP2	JP 2000284225 A	13-OCT-2000	Japan (English Abstract)			
	AQ2	JP 2000284227 A	13-OCT-2000	Japan (English Abstract)			
	AL3	JP 2000314817 A ✓	14-NOV-2000	Japan (English Abstract)			
	AM3	JP 2000329953 A	30-NOV-2000	Japan (English Abstract)			
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	AP3	JP 2001004877 A	12-JAN-2001	Japan (English Abstract)			
	AQ3	JP 2001013439 A ✓	19-JAN-2001	Japan (English Abstract)			
	AL4	JP 2001074954 A	23-MAR-2001	Japan (English Abstract)			
	AM4	JP 2001074955 A	23-MAR-2001	Japan (English Abstract)			
	AN4	JP 2001075040 A	23-MAR-2001	Japan (English Abstract)			
	AO4	JP 2001091777 A ✓	06-APR-2001	Japan (English Abstract)			
	AP4	JP 9064458 A	07-MAR-1997	Japan (English Abstract)			
	AQ4	WO 96/29621	26-SEPT-1996	PCT			
	AL5	WO 98/44367	8-OCT-1998	PCT			
	AM5	WO 98/53350	26-NOV-1998	PCT			
	AN5	WO 98/57207	17-DEC-1998	PCT			
	AO5	WO 99/00956	7-JAN-1999	PCT			
	AP5	WO 99/09439	25-FEB-1999	PCT			
EXAMINER				DATE CONSIDERED			



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				FILING DATE December 28, 2001		GROUP 2874	
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION YES NO
	AQ5	WO 99/17349	8-APR-1999	PCT			
	AL6	WO 99/19754	22-APR-1999	PCT			
	AM6	WO 99/42892	26-AUG-1999	PCT			
	AN6	WO 99/64903	16-DEC-1999	PCT			
	A06	WO 00/26157	11-MAY-2000	PCT			
	AP6	WO 00/49435	24-AUG-2000	PCT			
	AQ6	WO 00/49436	24-AUG-2000	PCT			
	AL7	WO 00/59140	5-OCT-2000	PCT			
	AM7	WO 00/60388	12-OCT-2000	PCT			
	AN7	WO 00/72068	30-NOV-2000	PCT			
	A07	WO 01/18283	15-MAR-2001	PCT			
	AP7	WO 01/22133	29-MAR-2001	PCT			
	AQ7	WO 01/32951	10-MAY-2001	PCT			
	AL8	WO 01/40860	7-JUN-2001	PCT			
	AM8	WO 01/42829	14-JUN-2001	PCT			
EXAMINER				DATE CONSIDERED			